# EERE Tech-to-Market Innovative Pathways Funding Opportunity Announcement (FOA)

U.S. DEPARTMENT OF ENERGY | Energy Efficiency & Renewable Energy

TECHNOLOGY-TO-MARKET PROGRAM

**Second Informational Webinar**

**DE-FOA-0001703**

**T2M@ee.doe.gov**

**February 10, 2017**

# Notice



- All applicants are strongly encouraged to carefully read the Funding Opportunity Announcement (FOA) for **DE-FOA-0001703** and to adhere to the stated submission requirements.
- This presentation summarizes the contents of the FOA.
- If there are any inconsistencies between the FOA and this presentation or statements from DOE personnel, the FOA is the controlling document and applicants should rely on the FOA language and seek clarification from EERE.
- If you believe there is an inconsistency and/or have any questions, please contact T2M@ee.doe.gov

# Questions



- Questions about the Innovative Pathways FOA? E-mail T2M@ee.doe.gov
  - All Q&As about this FOA will be posted on EERE Exchange
    - You must select FOA number DE-FOA-0001703 in order to view the Q&As.
    - EERE will attempt to respond to questions within three business days, unless a similar Q&A has already been posted on the web site
- Problems logging into EERE Exchange or uploading and submitting application documents with EERE Exchange? E-mail EERE-ExchangeSupport@hq.doe.gov
- Include FOA name (Innovative Pathways FOA) and number (DE-FOA-0001703) in the subject line of all e-mail correspondence
- All questions asked during this presentation and the presentation will be posted on EERE Exchange

# Schedule



| | |
|---|---|
| **FOA Issue Date** | 12/20/2016 |
| **Submission Deadline for Full Applications** | 02/15/2017<br>3PM ET |
| **Expected Reviewer Comments Available to Applicants** | Mid to late March |
| **Expected Submission Deadline for Replies to Reviewer Comments** | Mid to late March |
| **Expected Date for EERE Selection Notifications** | June 2017 |
| **Expected Timeframe for Award Negotiations** | June to August 2017 |

The Letter of Intent requirement was removed in FOA modification 000002 on 1/18/2017. **LOIs are no longer required**; only a Full Application is required by 2/15/2017 at 3 PM ET.

# FOA Description



- The Innovative Pathways FOA seeks to surface new testable and scalable ways to alleviate common structural challenges facing promising new energy technologies on the pathway to market.

- EERE is **not** seeking to support individual technology solutions directly. EERE is interested in proposals for the implementation of novel mechanisms that address common structural challenges facing technologists en route to market.

- EERE's intent is to pilot and evaluate new mechanisms, and position those that are successful for adoption by the private sector. Proposals should outline how to develop and test these new mechanisms for potential industry adoption.

- Proposals should outline the required work to evaluate the viability of new models (e.g., personnel time, legal services, financial modeling), the real-time testing of these models (e.g., partner involvement, personnel time, leverage for additional funds), and analysis of the outcomes.

# Topic Areas and Technical Areas of Interest



- The FOA calls for proposals under two Topics:

  **Topic 1: Technical Community and Industry Collaboration**

  *Area of Interest: Models for Industry-Startup Partnerships*

  **Topic 2: Lowering Barriers to Resource Access**

  *Area of Interest: New Investment Models*

- **NOTE**:
  - Applicants may apply with concepts outside of the areas of interest if they are still within the scope of the overall Topics
  - Applicants may only submit one Full Application for each Topic. This limitation does not prohibit an applicant from collaborating on other applications (e.g., as a potential Sub-recipient or partner) so long as the entity is only listed as the prime applicant on one Full Application per Topic

# Topic 1 and Area of Interest



## *Topic 1: Technical Community and Industry Collaboration*

- Input gathered by EERE has emphasized disconnects between the technical community and the market. New models for collaboration among technology developers, private industry, and other entities within the ecosystem could address these gaps.

- EERE seeks to support new models for collaboration between the technical community and industry so that innovations can be explored by the market.

## *Area of Interest: Models for Industry-Startup Partnerships*

- While many programs assist technology developers with business plan and early prototype development, far fewer help technology developers obtain the knowledge needed to develop commercially relevant, industry-ready prototypes and integrate into a complex industry.

- Of specific interest are proposals that facilitate better industry-startup collaboration. Proposals should:
  - Present feasible ways to overcome barriers currently preventing effective collaboration.
  - Have a testable hypothesis – a method by which to "stress-test" their proposed collaboration model (e.g., within existing industry business development cycles) to evaluate its viability.
  - Have the potential to be disproved.
  - Articulate a pathway to private sector adoption of the model, in the case that it is shown to be validated.

# Topic 2 and Area of Interest



## *Topic 2: Lowering Barriers to Resource Access*

- The U.S. innovation system is a cornerstone of American competitiveness, but barriers prevent the optimal alignment of these resources. New models to lower barriers and align incentives could enable capital and physical resources to be used more effectively.
- EERE seeks to support new models that optimize access to the capital and physical resources needed to develop technologies into products.

## *Area of Interest: New Investment Models*

- Conventional venture capital support for early-stage energy innovation has declined, while new capital sources have emerged that have the potential to be unlocked.
- Of specific interest are proposals that develop and test new investment models. Proposals should:
  - Present feasible ways to overcome the barriers that currently prevent investment.
  - Have a method by which to "stress-test" and validate their proposed investment model, e.g. by simulating the results of a theoretical investment portfolio or developing a structured financing instrument.
  - Have the potential to be disproved.
  - Articulate a pathway to private sector adoption of the model, in the case that the model is shown to be validated.
- EERE is **NOT** providing funds for investment into clean energy companies. Applicants should propose what work would be required to evaluate the viability of new investment models, the real-time testing of these models, and analysis of the outcomes.

# Additional Proposal Considerations



- Applicants should clearly demonstrate the ability to create scalable solutions that can be adopted by the broader clean energy industry.
- Proposed models should have the potential to unlock significant additional capital and/or change *how* clean energy technologies achieve market entry, if they were shown to be successful and were to be adopted at scale.
- Partnership with entities directly involved in industry and investment, including private-sector subject matter experts and practitioners, is strongly encouraged.
- Relevant partners (e.g. private-sector practitioners) should be integrated into the proposed approach in a manner that guarantees their direct involvement, rather than a vague commitment of involvement. Proposals must specify **how** these relevant partners will engage.
- Proposals must present a plan to test the viability of the proposed approach by the end of Year 1, and to quantify the value of the approach to private sector partners.
- The FOA is primarily intended to test **new** approaches to overcoming common barriers facing all clean energy technologies. Applicants must clearly describe the novelty or additive value of the proposed approach.

# Clarifications



- EERE is only interested in ideas that have the ability to be proven untenable. **The proposed model must be disprovable.** Therefore, applicants must present a clear testable hypothesis. Applications lacking a clear testable hypothesis are unlikely to be funded.
- Milestone achievements such as meetings conducted or introductions made would not qualify as proof of viability or stress-testing. It is up to the applicant to develop a **robust viability test**, depending on the specific model being proposed. (Some examples could include positive financial results modeled, supporting data collected, legal frameworks constructed, letters of commitment or investment dollars secured, and/or tangible outcomes achieved such as signed agreements between start-ups and corporate partners.) Results of the viability test would be presented to DOE and reviewers at the end of Year 1.
- We are **not** funding research projects about the problem, nor are we funding the development of white papers about potential theoretical solutions. This FOA is about implementation.
- Awarded funds could be used **indirectly** for technology development **if** the purpose were to test an improved way to deploy or utilize funds en route to market. However, DOE funds cannot be invested in companies for equity.
- EERE is **not** seeking regional-based approaches. New mechanisms or models should be tested with technology developers and startups of greatest interest to the market, rather than with pre-selected developers/startups. Applicants should articulate how solutions of greatest interest to the market will be selected.
- Foreign entities are eligible to apply to this FOA. However, proposed models must be applicable to the U.S. market to be eligible.
- Single proposals that address both Topics jointly are welcome.

# Key Submission Points



- Check entries in EERE Exchange. Submissions could be deemed ineligible due to incorrect or incomplete entries.
- Applicants are strongly encouraged to submit their Full Applications at least 48 hours in advance of the submission deadline (to allow for full upload of application documents and to account for any technical glitches with EERE Exchange).
- We cannot accept late submissions. Applicants can always go back and change what is uploaded, as long as the submission is re-submitted prior to the deadline.
- Any changes made after the initial submission will un-submit your application. You will need to hit the submit button again; otherwise your application will no longer be in the system.
- For your records, print out the EERE Exchange Confirmation page at each step, which contains the application's Control Number.
- Don't forget the 3 pm EST deadline!

# Registration Requirements



- To submit a Full Application, Applicants must register with and submit through EERE Exchange: https://eere-Exchange.energy.gov.
- Applicants must obtain a DUNS Number prior to submitting a Full Application, and this can take several weeks to obtain.
- The below registrations must be complete to receive an award under this FOA:

| Registration Requirement | Website |
|---|---|
| DUNS Number (Required to submit Full Application) | http://fedgov.dnb.com/webform |
| System for Award Management (SAM) | https://www.sam.gov |
| FedConnect | https://www.fedconnect.net |
| Grants.gov | http://www.grants.gov |

# Full Application Compliance



**The Full Application includes**:

- Technical Volume: The key technical document, with information relating to the project content, project team members, etc.
- SF-424 Application for Federal Assistance
- Summary Slide
- Administrative Documents: E.g., Authorization from cognizant Contracting Officer for FFRDC (if applicable) and Foreign Entity and Performance of Work in the United States waiver requests (if applicable)

# Full Applications: Technical Volume Content



**Technical Volume (limit 7 pages):**

**The key technical component of the Full Application**

| Content of Technical Volume | Approximate Pages |
|---|---|
| Cover Page | 1 Page |
| Project Overview | 1 Page |
| Program Description, Innovation and Impact (Components include: Relevance and Outcomes, Feasibility, and Innovation and Impact) | 2 Pages |
| Workplan (Components include: Scope Summary, Quarterly Milestones, One Year Continuation and End-of-Project Goals, Project Schedule, and High-level overview of estimated project budget) | 2 Pages |
| Technical Qualifications and Resources | 1 Page |

# Replies to Reviewer Comments



- EERE provides applicants with reviewer comments.
- Applicants should anticipate having approximately three business days to submit Replies to Reviewer Comments.
  - Page limit: three pages, including charts, graphs, etc.
- Applicants are **not** required to submit a Reply. It is optional.
- To be considered by EERE, a Reply must be submitted by the deadline and submitted through EERE Exchange.
  - Expected Reviewer Comments Available to Applicants in mid- to late-March
  - Expected Submission Deadline for Replies to Reviewer Comments three business days later
- Please see Sections IV.D. and V.A.ii of the FOA for additional information regarding Replies to Reviewer Comments.

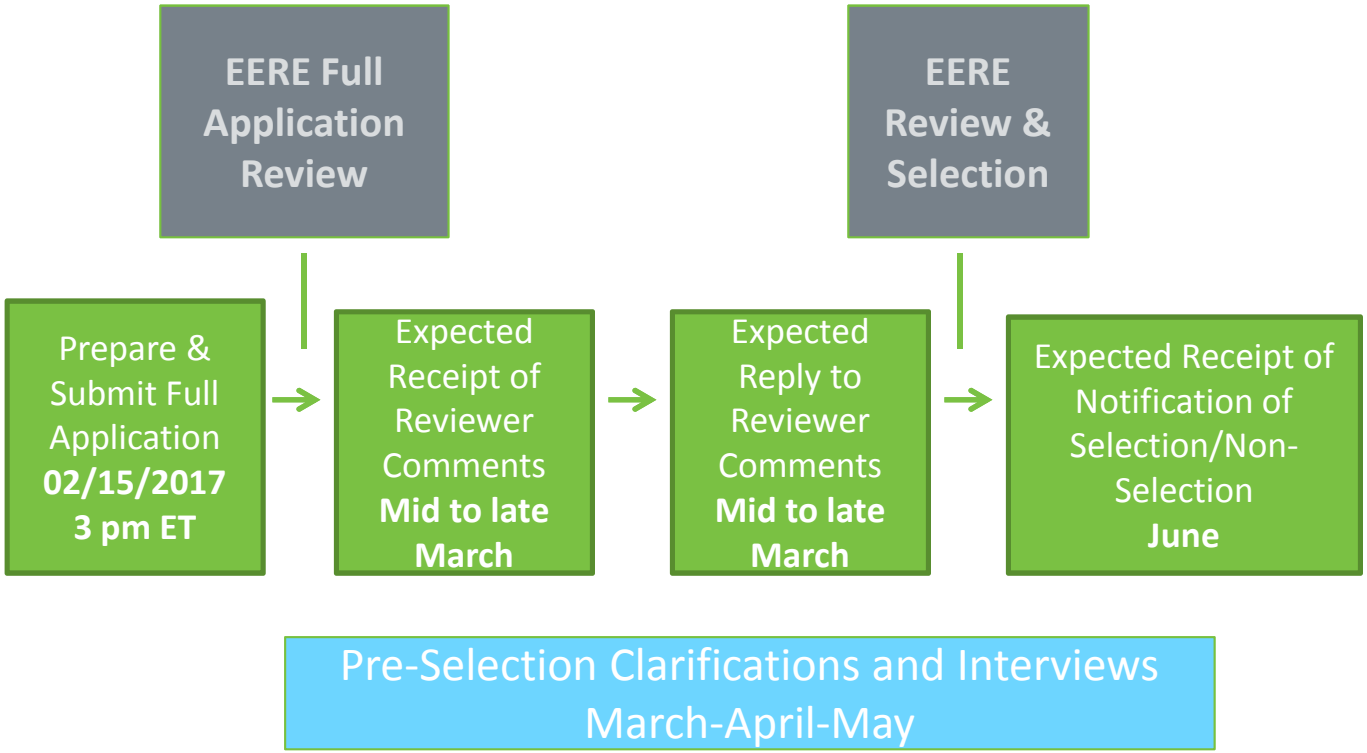
# Pre-Selection Interviews



- EERE may invite one or more applicants to participate in Pre-Selection Interviews.
- All interviews will be conducted in the same format.
- EERE will not reimburse applicants for travel and other expenses relating to the Pre-Selection Interviews, nor will these costs be eligible for reimbursement as pre-award costs.
- EERE will arrange to meet with the invited applicants in person at EERE's offices or a mutually agreed upon location. EERE may also arrange site visits at certain applicants' facilities. As an alternative, EERE may invite certain applicants to participate in a one-on-one conference with EERE via webinar, videoconference, or conference call.
- Participation in Pre-Selection Interviews with EERE does not signify that applicants have been selected for award negotiations.

# FOA Review Timeline

U.S. DEPARTMENT OF ENERGY | Energy Efficiency & Renewable Energy
TECHNOLOGY-TO-MARKET PROGRAM




EERE anticipates making awards by **09/15/2017**

# Questions



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